

# Check Before You Invest

**Before investing**, have the person offering products/services **complete** this form, **sign** it, and **re-turn** it to you. **Verify** both the person and company are **licensed** and **authorized** to sell/offer the specific type of product, by **contacting** the appropriate licensing agency (see reverse side for agency contact information). **Keep** the completed form for your records.

## Seller/Agent and Company Information (please print clearly)

Seller/Agent Name \_\_\_\_\_

Company/Business Name \_\_\_\_\_

Company/Business Address \_\_\_\_\_

Phone Number(s) \_\_\_\_\_ E-mail \_\_\_\_\_

## ✓ I am offering the following product(s) and/or services (check all that apply)

- |   |   |   |  |
|---|---|---|--|
| <input type="checkbox"/> <b>Investment</b>          | <input type="checkbox"/> Securities                 | <input type="checkbox"/> Mutual Funds       | <input type="checkbox"/> IRAs            |
|   | <input type="checkbox"/> Private Placements         | <input type="checkbox"/> Oil & Gas/Minerals | <input type="checkbox"/> Other _____     |
| <input type="checkbox"/> <b>Financial Planning</b>  | <input type="checkbox"/> Investment Advice          | <input type="checkbox"/> Financial Planning | <input type="checkbox"/> Wealth Creation |
| <input type="checkbox"/> <b>Insurance</b>           | <input type="checkbox"/> Life                       | <input type="checkbox"/> Annuities          | <input type="checkbox"/> Viaticals       |
|   | <input type="checkbox"/> Other _____                |   |  |
| <input type="checkbox"/> <b>Real Estate</b>         | <input type="checkbox"/> Refinance                  | <input type="checkbox"/> Reverse Mortgage   | <input type="checkbox"/> Equity Loan     |
|   | <input type="checkbox"/> Investment (specify) _____ |   |  |
| <input type="checkbox"/> <b>Legal Services</b>      | <input type="checkbox"/> Wills                      | <input type="checkbox"/> Living Trust       | <input type="checkbox"/> Estate Planning |
|   | <input type="checkbox"/> Other _____                |   |  |
| <input type="checkbox"/> <b>Accounting</b>          | <input type="checkbox"/> Tax Preparation            | <input type="checkbox"/> Other _____        |  |
| <input type="checkbox"/> <b>Contractor Services</b> | <input type="checkbox"/> Home Repair                | <input type="checkbox"/> Remodeling         | <input type="checkbox"/> Other _____     |

## ✓ I am currently licensed by

- |   |                      |
|---|----------------------|
| <input type="checkbox"/> CA Department of Corporations      | CRD #: _____         |
| <input type="checkbox"/> CA Department of Corporations      | IARD/CRD #: _____    |
| <input type="checkbox"/> CA Department of Insurance         | License #: _____     |
| <input type="checkbox"/> CA Department of Real Estate       | DRE License #: _____ |
| <input type="checkbox"/> CA State Bar Association           | State Bar #: _____   |
| <input type="checkbox"/> CA Board of Accountancy            | CPA License #: _____ |
| <input type="checkbox"/> CA Contractors State License Board | License #: _____     |
| <input type="checkbox"/> Other                              | License #: _____     |

## ✓ I certify that I am making these representations truthfully in order to do business with you.

Signature \_\_\_\_\_ Date \_\_\_\_\_